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0300

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AARON L. CHWART**

* LIMITED TO MATTER
AND PRACTICE IN THE
FEDERAL COURTS AND
**REGISTERED PATENT AGENT
*** SENIOR COUNSEL

September 21, 2001

WRITER'S DIRECT NUMBER:

(202) 371-2629

INTERNET ADDRESS:

DONE@SKGF.COM

Commissioner for Patents
Washington, D.C. 20231

Re: U.S. Utility Patent Application
Appl. No. 09 753,664; Filed: January 4, 2001
For: **High Density Metal Capacitor Using Via Etch Stopping Layer as
Field Dielectric in Dual-Damascene Interconnect Process**
Inventor: Liming Tsau
Our Ref: 1875.023000

Sir:

In reply to the "Notice of Incomplete Reply" dated August 31, 2001, Applicant submits the following documents for appropriate action by the U.S. Patent and Trademark Office:

1. Copy of Notice of Incomplete Reply;
2. Reply to Notice of Incomplete Reply;
3. Copies of the following documents filed July 23, 2001:
 - a. Copy of the Notice to File Corrected Application Papers;
 - b. Letter to PTO Draftsman: Submission of Formal Drawings;
 - c. Five (5) sheets of formal drawings, (consisting of Figures 1-15);
 - d. An original executed Power of Attorney from Assignee;
 - e. An original executed Certificate under 37 C.F.R. § 3.73(b); and
 - f. Date-Stamped return postcard; and
4. Return postcard.

Commissioner for Patents
September 21, 2001
Page 2

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036. If extensions of time under 37 C.F.R. § 1.136 other than those otherwise provided for herewith are required to prevent abandonment of the present patent application, then such extensions of time are hereby petitioned, and any fees therefor are hereby authorized to be charged to our Deposit Account No. 19-0036. A duplicate copy of this letter is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Donald J. Featherstone
Attorney for Applicants
Registration No. 33,876



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, DC 20503

09 753,604	01 04 2001	Luning Tsau	1875 02300000
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CONFIRMATION NO. 1902

FORMALITIES LETTER



OC000000006501627

STERNE, KESSLER, GOLDSTEIN & FOX PLLC
1100 NEW YORK AVENUE, N.W., SUITE 600
WASHINGTON, DC 20005-3934

Date Mailed 08/31/2001

NOTICE OF INCOMPLETE REPLY (NONPROVISIONAL)

Filing Date Granted

The U.S. Patent and Trademark Office has received your reply on to the Notice mailed and it has been entered into the nonprovisional application. The reply, however, does not include the following items required in the Notice.

The period of reply remains as set forth in the Notice. You may, however, obtain EXTENSIONS OF TIME under the provisions of 37 CFR 1.136 (a) accompanied by the appropriate fee (37 CFR 1.17(a)).

A complete reply must be timely filed to prevent ABANDONMENT of the above-identified application.

- Substitute drawings in compliance with 37 CFR 1.84 because:
 - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

A copy of this notice MUST be returned with the reply.

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Liming Tsau

Appl. No. 09 753,664

Filed: January 4, 2001

For: **High Density Metal Capacitor
Using Via Etch Stopping Layer as
Field Dielectric in Dual-
Damascene Interconnect Process**

Confirmation No.: 1902

Art Unit: 2812

Examiner: To be assigned

Atty. Docket: 1875.0230000

Reply to Notice of Incomplete Reply

Commissioner for Patents
Washington, D.C. 20231

Sir:

In reply to the Notice of Incomplete Reply dated August 31, 2001, Applicant submits that the Notice of Incomplete Reply stating a requirement for substitute drawings was issued in error.

In a September 6, 2001, telephone conversation with the Office of Initial Patent Examination, the undersigned was informed that, according to the U.S. Patent and Trademark Office database, the formal drawings filed in response to the Notice to File Corrected Application Papers on July 23, 2001, had not yet been matched up with the file. The undersigned was then instructed to submit copies of the papers previously filed in response to the Notice to File Corrected Application Papers as proof that the drawing requirement has already been met. Applicant therefore submits concurrently herewith copies of all documents filed on July 23, 2001.

Applicants believe the issuance of the Notice of Incomplete Reply was a U.S. Patent and Trademark Office mistake and therefore the payment of extension fees is not required.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Donald J. Featherstone
Attorney for Applicant
Registration No. 33,876

Date: 9/21/01.

1100 New York Avenue, N.W.
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Washington, D.C. 20005-3934
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DUSTIN T. JOHNSON**
MATTHEW J. DOWD**

*LIMITED TO MATTERS
AND PROCEEDINGS BEFORE
FEDERAL COURTS & AGENCIES
**REGISTERED PATENT AGENT
***SENIOR COUNSEL

July 23, 2001

WRITER'S DIRECT NUMBER:

(202) 371-2629

INTERNET ADDRESS:

DONF@SKGF.COM

Commissioner for Patents
Washington, D.C. 20231

Re: U.S. Utility Patent Application
Appl. No. 09/753,664; Filed: January 4, 2001
For: **High Density Metal Capacitor Using Via Etch Stopping Layer as
Field Dielectric in Dual-Damascene Interconnect Process**
Inventor: Liming Tsau
Our Ref: 1875.023000

Sir:

In reply to the "Notice to File Corrected Application Papers," dated May 21, 2001, Applicant submits the following documents for appropriate action by the U.S. Patent and Trademark Office:

1. Copy of the Notice to File Corrected Application Papers;
2. Letter to PTO Draftsman: Submission of Formal Drawings;
3. Five (5) sheets of formal drawings. (consisting of Figures 1-15);
4. An original executed Power of Attorney from Assignee;
5. An original executed Certificate under 37 C.F.R. § 3.73(b); and
6. Return postcard.

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier.

Commissioner for Patents

July 23, 2001

Page 2

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036. If extensions of time under 37 C.F.R. § 1.136 other than those otherwise provided for herewith are required to prevent abandonment of the present patent application, then such extensions of time are hereby petitioned, and any fees therefor are hereby authorized to be charged to our Deposit Account No. 19-0036. A duplicate copy of this letter is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

A handwritten signature in black ink, appearing to read "Donald J. Featherstone". The signature is fluid and cursive, with the first name "Donald" and last name "Featherstone" clearly distinguishable.

Donald J. Featherstone
Attorney for Applicants
Registration No. 33,876



UNITED STATES PATENT AND TRADEMARK OFFICE



Page 1 of 1

COPY

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/753,664	01/04/2001	Liming Tsau	1875.0230000

26111

STERNE, KESSLER, GOLDSTEIN & FOX PLLC
1100 NEW YORK AVENUE, N.W., SUITE 600
WASHINGTON, DC 20005-3934

CONFIRMATION NO. 1902

FORMALITIES LETTER



OC000000006096181

Date Mailed: 05/21/2001

NOTICE TO FILE CORRECTED APPLICATION PAPERS

Filing Date Granted

This application has been accorded an Application Number and Filing Date. The application, however, is informal since it does not comply with the regulations for the reason(s) indicated below. Applicant is given **TWO MONTHS** from the date of this Notice within which to correct the informalities indicated below. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a)

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
 - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

A copy of this notice MUST be returned with the reply.

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

COPY

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Liming Tsau

Appl. No. 09,753,664

Filed: January 4, 2001

For: **High Density Metal Capacitor
Using Via Etch Stopping Layer as
Field Dielectric in Dual-Damascene
Interconnect Process**



Confirmation No. 1902

Art Unit: 2812

Examiner: To be assigned

Atty. Docket: 1875.0230000

Letter to PTO Draftsman: Submission of Formal Drawings

Commissioner for Patents
Washington, D.C. 20231

Sir:

Submitted herewith are seven (5) sheets of formal drawings with Figures 1-15, corresponding to the drawings submitted with the above-captioned application. Identification of the drawings is provided in accordance with 37 C.F.R. § 1.84(c). Acknowledgment of the receipt, approval, and entry of these formal drawings into this application is respectfully requested.

It is not believed that an extension of time is required, other than any already provided herewith. However, if an extension of time is needed to prevent abandonment of the application, then such extension of time is hereby petitioned. The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036. A duplicate copy of this Letter is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

A handwritten signature in dark ink, appearing to read "Donald J. Featherstone".

Donald J. Featherstone
Attorney for Applicants
Registration No. 33,876

Date: 7/23/01.

1100 New York Avenue, N.W.
Suite 600
Washington, D.C. 20005-3934
(202) 371-2600

Applicant: Liming Tsau

Application No.: 09 753.664

Filed: January 4, 2001

For: High Density Metal Capacitor Using Via Etch Stopping Layer as Field Dielectric in Dual-Damascene Interconnect Process



Due Date: July 21, 2001

Art Unit: 2812

Examiner: To be assigned

Docket: 1875.0230000

Atty: DJF

When receipt stamp is placed hereon, the USPTO acknowledges receipt of the following documents:

1. SKGF Cover Letter (*in duplicate*);
2. Copy of the Notice to File Corrected Application Papers;
3. Letter to PTO Draftsman: Submission of Formal Drawings;
4. Five (5) sheets of formal drawings, (consisting of Figures 1-15);
5. An original executed Power of Attorney from Assignee;
6. An original executed Certificate under 37 C.F.R. § 3.73(b); and
7. Return postcard.



Please Date Stamp And Return To Our Courier

POWER OF ATTORNEY FROM ASSIGNEE

COPY



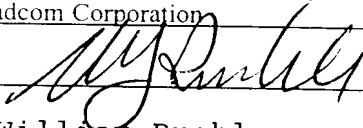
Broadcom Corporation, a corporation of California, having a principal place of business at 16215 Alton Parkway, Irvine, California 92618-3616, is assignee of the entire right, title and interest for the United States of America (as defined in 35 U.S.C. § 100), by reason of an Assignment to the Assignee executed on December 29, 2000 of an invention known as High Density Metal Capacitor Using Via Etch Stopping Layer as Field Dielectric in Dual-Damascene Interconnect Process (Attorney Docket No. 1875.0230000), which is disclosed and claimed in a patent application of the same title by the inventor Liming Tsau (said application filed January 4, 2001 at the U.S. Patent and Trademark Office, having Application Number 09/753,664).

The Assignee hereby appoints the following U.S. attorneys to prosecute this application and any continuation, divisional, continuation-in-part, or reissue application thereof, and to transact all business in the U.S. Patent and Trademark Office connected therewith: Robert Greene Sterne, Esq., Reg. No. 28,912; Edward J. Kessler, Esq., Reg. No. 25,688; Jorge A. Goldstein, Esq., Reg. No. 29,021; Samuel L. Fox, Esq., Reg. No. 30,353; David K.S. Cornwell, Esq., Reg. No. 31,944; Robert W. Esmond, Esq., Reg. No. 32,893; Tracy-Gene G. Durkin, Esq., Reg. No. 32,831; Michele A. Cimbala, Esq., Reg. No. 33,851; Michael B. Ray, Esq., Reg. No. 33,997; Robert E. Sokohl, Esq., Reg. No. 36,013; Eric K. Steffe, Esq., Reg. No. 36,688; Michael Q. Lee, Esq., Reg. No. 35,239; Steven R. Ludwig, Esq., Reg. No. 36,203; John M. Covert, Esq., Reg. No. 38,759; and Linda E. Alcorn, Esq., Reg. No. 39,588. The Assignee hereby grants said attorneys the power to insert on this Power of Attorney any further identification that may be necessary or desirable in order to comply with the rules of the U.S. Patent and Trademark Office.

Send correspondence to:

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.
1100 New York Avenue, N.W.
Suite 600
Washington, D.C. 20005-3934
U.S.A.

Direct phone calls to 202-371-2600.

FOR: Broadcom Corporation
SIGNATURE: 
BY: William Ruehle
TITLE: Vice President & CFO
DATE: April 13, 2001



COPY

Certificate Under 37 C.F.R. § 3.73(b)

Applicant Patent Owner: Liming Tsau

Application No. Patent No.: 09 753,664

Filed Issue Date: January 4, 2001

Entitled: High Density Metal Capacitor Using Via Etch Stopping Layer as Field Dielectric in Dual-Damascene Interconnect Process

Broadcom Corporation

(Name of Assignee)

a

corporation

(Type of Assignee: e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest, or

2. ☐ an assignee of an undivided part interest

in the patent application/patent identified above by virtue of either:

A. ☒ An Assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the Patent and Trademark Office at Reel 011420, Frame 0610, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s) of the patent application/patent identified above to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

3. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE:] A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the PTO. See MPEP 302-302.8]

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

Date: April 13, 2001

Name: William Ruehle

Title: Vice President & CFO

Signature: _____